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10/779,328	02/13/2004	Umesh Madan	MS1-1851US	5250
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LEE & HAYES PLLC 421 W RIVERSIDE AVENUE SUITE 500 SPOKANE, WA 99201			EXAMINER TSAI, SHENG JEN	
			ART UNIT 2186	PAPER NUMBER
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**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

lhptoms@leehayes.com

<b>Office Action Summary</b>	Application No.		Applicant(s)	
	10/779,328		MADAN ET AL.	
	Examiner		Art Unit	
	Sheng-Jen Tsai		2186	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 25 April 2007.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-38 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-38 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 13 February 2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)          | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____  | 6) <input type="checkbox"/> Other: _____                          |

### DETAILED ACTION

1. This Office Action is taken in response to Applicants' Request for Continued Examination (RCE) filed on April 25, 2007 regarding application 10,779,328 filed on February 13, 2004.

2. Claims 1, 8, 17 and 27 have been amended.

Claims 1-38 are pending for consideration.

3. ***Response to Remarks and Amendments***

Applicants' amendments and remarks have been fully and carefully considered with examiner's response set forth below.

**Claim rejections under 35 U.S.C. 112, second paragraph**

Rejections of claims 8-16 and 27-31 under 35 U.S.C. 112, second paragraph have been withdrawn in view of the amendments on claims 8 and 27. However, rejections of claims 1-7 under 35 U.S.C. 112, second paragraph remain due to the following reason:

Independent claim 1, as currently amended, recites the previously presented limitations of "wherein the inverse query engine cache comprises at least one of an add filter module, a remove filter module, a matcher, a maintainer, a filter table, a most recently used list, or an expiration list," and the newly amended limitations of "wherein the expiration list comprises a filter identifier including an expiration value in an expiration field."

It is noted that these limitations raise question under 35 U.S.C 112, second paragraph due to the following reasons:

First, the limitation of “wherein the inverse query engine cache comprises at least one of an add filter module, a remove filter module, a matcher, a maintainer, a filter table, a most recently used list, or an expiration list” requires that the inverse query engine cache to possess at least one of the seven recited elements. Thus, the inverse query engine cache may simply contain only one of the recited elements and still meet the requirement without having an expiration list.

Second, the added limitation recites “wherein the expiration list comprises a filter identifier including an expiration value in an expiration field.” However, as explained above, the currently amended claim does not require the inverse query engine cache to have an expiration list because having only one of the recited elements other than the expiration list would meet the requirement. Thus, the limitation of “wherein the expiration list comprises a filter identifier including an expiration value in an expiration field” lacks the supporting basis when the inverse query engine cache does not have an expiration list.

Claims 2-7 are rejected by virtue of their dependency from claim 1.

**Claim rejections under 35 U.S.C. 102**

Applicant contends that Schneider does not teach condition defined, deducing the query size, and adding new query size. The Examiner disagrees.

As to claim 17, Schneider teaches **defining conditions and processing input that satisfies the conditions** [figure 3A shows an example of the conditions: Select C1 from T1 where C2=(Select MAX(C3) from T2 where T2.C4=T1.C1)].

Schneider also teaches deducing the query size and adding new query size.

First, Schneider teaches maintaining the inverse query engine cache at or below a maximum cache size as new items are added to the filter table [While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29)] by trimming old, least used items from the table [the method continues to execute and maintain the cache at maximum size; generally cache rows are filled on a least-recently used (LRU) basis (column 7, lines 26-28)]. Thus maintaining the inverse query engine cache at or below a maximum cache size includes both adding new entries and removing old entries.

Second, since Schneider's method continues to execute and maintain the cache at maximum size (column 8, lines 26-29), it must continuously monitor and keep track on the total size of cache, which requires the monitoring how many entries have been added and how many entries have been removed in order to update the total size.

Applicant also contends that, as claim 32, Schneider does not teach an integrated cache. The Examiner disagrees.

First, page 4 of the Specification of Applicant's disclosure merely defines that an "integrated cache" is a cache that is part of the inverse query engine.

Second, the corresponding inverse query engine of Schneider's invention is shown in figure 2, 260, and figure 2 also clearly shows that the filter table (250) is part of the engine (260). Further, Schneider teaches that a subquery cache is provided to facilitating execution of the query (abstract; figure 3B).

Thus, Schneider teaches a cache that is part of the query engine, hence an integrated cache of the query engine.

Therefore, the Examiner's position regarding the merits of patentability of claim 17, and those claims depending from it, remains the same as stated in the previous Office Action.

**Claim rejections under 35 U.S.C. 103**

A new ground of claim analysis based on the previously relied on reference (Schneider, US 5,668,987) in combination with a newly identified reference (Chen et al., US 2004/0001498, hereinafter referred to as Chen) has been made. Refer to the following claim analysis for details.

**Claim Rejections - 35 USC § 112**

4. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

5. Claims 1-7 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Art Unit: 2186

Independent claim 1, as currently amended, recites the previously presented limitations of “wherein the inverse query engine cache comprises at least one of an add filter module, a remove filter module, a matcher, a maintainer, a filter table, a most recently used list, or an expiration list,” and the newly amended limitations of “wherein the expiration list comprises a filter identifier including an expiration value in an expiration field.”

It is noted that these limitations raise question under 35 U.S.C 112, second paragraph due to the following reasons:

First, the limitation of “wherein the inverse query engine cache comprises at least one of an add filter module, a remove filter module, a matcher, a maintainer, a filter table, a most recently used list, or an expiration list” requires that the inverse query engine cache to possess at least one of the seven recited elements. Thus, the inverse query engine cache may simply contain only one of the recited elements and still meet the requirement without having an expiration list.

Second, the added limitation recites "wherein the expiration list comprises a filter identifier including an expiration value in an expiration field." However, as explained above, the currently amended claim does not require the inverse query engine cache to have an expiration list because having only one of the recited elements other than the expiration list would meet the requirement. Thus, the limitation of "wherein the expiration list comprises a filter identifier including an expiration value in an expiration field" lacks the supporting basis when the inverse query engine cache does not have an expiration list.

Claims 2-7 are rejected by virtue of their dependency from claim 1.

***Claim Rejections - 35 USC § 103***

6. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

7. Claims 1-15, 21, 25, 27-31 and 34-38 are rejected under 35 U.S.C. 103(a) as being unpatentable over Schneider (US 5,668,987), and in view of Chen et al. (US 2004/0001498, hereinafter referred to as Chen).

As to claim 1, Schneider and Chen disclose a **method, comprising:**

**receiving a request to add a new filter [Schneider]:** After the cache is scanned and a "miss" occurs (i.e., no match), the subquery is executed and its input value(s)/result value pair is added to the top (i.e., first row) of the subquery cache (column 7, lines 28-



33); [Chen] also teaches receiving a request to add a new filter (a router sends notification requesting filters, paragraph 0011)] **to a filter table** [Schneider]: figure 3A shows examples of filter tables TABLE T1 (310) and TABLE T2 (320); [Chen] shows it in figure 18] **stored in an inverse query engine cache** [Schneider]: figure 2, 260 shows the inverse query engine; figure 3B shows a subquery cache (340) which is part of the query engine; [Chen] shows it in figures 7 and 8];

**adding the new filter to the filter table** [Schneider]: After the cache is scanned and a "miss" occurs (i.e., no match), the subquery is executed and its input value(s)/result value pair is added to the top (i.e., first row) of the subquery cache (column 7, lines 28-33); [Chen]: abstract: a plurality of filters are received], **wherein the new filter**

**comprises a condition field** [Chen]: paragraph 0156: 5) filters may involve simple (e.g., >, ==, <=, etc.) or complicated tests or operators (e.g., membership test, regular expression, string matching, range operators such as intersection queries, enclosure queries, containment queries etc.)), **a data field** [Schneider]: because each filter contained in the filter tables (Tables T1 and T2, figure 3A, 310 and 320) has a data field; [Chen]: paragraph 0156: 4) filters may involve simple (integer, Boolean) or complicated data type], **an expiration time field** [Chen]: paragraph 0156: 21) time-out parameters for filter; paragraph 0151: 2) filters should expire after the subscribers have moved; paragraph 0154: 16) expiration of filters; paragraph 0158: 3) filter persistency (e.g., expiration time-outs); paragraph 0176: filter sender may have included a filter time-out. In this case, the determining step 458 checks the filter to see if the filter has

expired], a **filter weight field** [Chen]: paragraph 0156: 3) filters may involve fixed size or variable-size attributes], and a **permanent flag field** [Chen]: paragraph 0178: There are cases in some publish-subscribe network strategy (e.g., CBT) where filters have no expiration time-outs, and once they have been propagated to one node, they will remain persistent over that link until some changes to the filter set (e.g., filter addition, filter removal, etc.) take place];

**determining the filter table of a bounded size** [Schneider]: While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29)];

**maintaining the inverse query engine cache at or below a maximum cache size, wherein the size of the inverse query engine cache may be indicated by size of the filter table, estimate of size of the filter table, or by cache usage** [Schneider]:

While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29)) by trimming old, least used items from the table (generally cache rows are filled on a least-recently used\_(LRU) basis (column 7, lines 26-28)], **wherein the inverse query engine cache comprises at least one of an add filter module, a remove filter module, a matcher, a maintainer, a filter table, a most recently used list, or an expiration list** [Schneider]: the query engine (figure 2, 260) contains filter tables (Tables, figure 2, 250; Tables T1 and T2, figure 3A,

310 and 320); [Chen]: abstract: a filter receiving module, a filter reduction module, and a filter propagation module];

**wherein the expiration list comprises a filter identifier including an expiration**

**value in an expiration field** [Chen]: paragraph 0156: 21) time-out parameters for filter;

paragraph 0151: 2) filters should expire after the subscribers have moved; paragraph

0154: 16) expiration of filters; paragraph 0158: 3) filter persistency (e.g., expiration

time-outs); paragraph 0176: filter sender may have included a filter time-out. In this

case, the determining step 458 checks the filter to see if the filter has expired];

**removing a filter based on an expiration time** [Chen]: paragraph 0176: filter sender

may have included a filter time-out. In this case, the determining step 458 checks the

filter to see if the filter has expired; thus a filter is removed (i.e. not propagated any

further) if it has expired];

**trimming the filter table** [Schneider] teaches maintaining the inverse query engine

cache at or below a maximum cache size as new items are added to the filter table

(While the number of items is less than the cache size (step 401), the method

continues to execute and maintain the cache at maximum size; any unique items (i.e.,

values) are added to the cache (column 8, lines 26-29)) by trimming old, least used

items from the table (generally cache rows are filled on a least-recently used (LRU)

basis (column 7, lines 26-28); Chen: paragraph 0178: filter removal]; **and**

**wherein the inverse query engine cache is used exclusively by an inverse query**

**engine to store filters associated therewith** [Schneider]: Database system and

methods are described for improving execution speed of database queries (e.g., for

decision support) by optimizing execution of nested queries or "subqueries," such as are commonly used in client/server database environments. In particular, a subquery cache is provided having a size which can be dynamically adjusted by the system during execution of the query, for achieving an optimal cache size (abstract)].

Regarding claim 1, Schneider teaches that the new filter comprises a data field, but does not teach a condition field, an expiration time field, a filter weight field, or a permanent field.

However, Chen's filters comprise all these fields: **a condition field** [Chen: paragraph 0156: 5) filters may involve simple (e.g., >, ==, <=, etc.) or complicated tests or operators (e.g., membership test, regular expression, string matching, range operators such as intersection queries, enclosure queries, containment queries etc.)], **a data field** [Schneider: because each filter contained in the filter tables (Tables T1 and T2, figure 3A, 310 and 320) has a data field; Chen: paragraph 0156: 4) filters may involve simple (integer, Boolean) or complicated data type], **an expiration time field** [Chen: paragraph 0156: 21) time-out parameters for filter; paragraph 0151: 2) filters should expire after the subscribers have moved; paragraph 0154: 16) expiration of filters; paragraph 0158: 3) filter persistency (e.g., expiration time-outs); paragraph 0176: filter sender may have included a filter time-out. In this case, the determining step 458 checks the filter to see if the filter has expired], **a filter weight field** [Chen: paragraph 0156: 3) filters may involve fixed size or variable-size attributes], **and a permanent flag field** [Chen: paragraph 0178: There are cases in some publish-subscribe network strategy (e.g., CBT) where filters have no expiration time-outs, and

once they have been propagated to one node, they will remain persistent over that link until some changes to the filter set (e.g., filter addition, filter removal, etc.) take place].

Therefore, it would have been obvious for one of ordinary skills in the art to include these fields as filter attributes, as demonstrated by Chen, and to incorporate it into the existing system disclosed by Schneider because Chen teaches that doing so would allow facilitating propagating filters efficiently, alleviate the burden on processing elements, and add values to the applications [paragraph 0008].

Regarding claim 1, Schneider does not explicitly mention **removing a filter based on an expiration item**.

However, Chen teaches this limitation [paragraph 0176: filter sender may have included a filter time-out. In this case, the determining step 458 checks the filter to see if the filter has expired; thus a filter is removed (i.e. not propagated any further) if it has expired].

Therefore, it would have been obvious for one of ordinary skills in the art to recognize the need to remove the contents of a memory block when the size of the memory is limited, as demonstrated by both Schneider and Chen, and that removing the contents of a memory block based on an expiration time is a straightforward and efficient way of achieving this goal, as demonstrated by Chen, and to incorporate it into the existing system disclosed by Schneider, to further enhances the cache replacement strategy beyond the commonly adopted "Least Recently Used" scheme, and makes better utilization of the precious resource of cache capacity.

As to claim 2, Schneider teaches that **the method as recited in claim 1, further comprising maintaining the size of the inverse query engine cache between an optimal cache size and the maximum cache size** [In particular, a subquery cache is provided having a size which can be dynamically adjusted by the system during execution of the query, for achieving an optimal cache size (abstract); While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29)].

As to claim 3, Schneider teaches that **the method as recited in claim 1, wherein the maintaining further comprises:**

**determining if the addition of the new filter to the new filter table increases the cache size above the maximum cache size** [figure 4A, step 401, "while items < cache rows" determines if the size of the items to be added would exceed the size of a cache row]; and

**removing one or more filters from the filter table if the addition of the new filter causes the cache size to exceed the maximum cache size** [For the latter case (i.e., a cache employing multiple rows or entries), generally cache rows are filled on a least-recently used (LRU) basis (column 7, lines 26-28)].

As to claim 4, Schneider teaches that **the method as recited in claim 3, wherein the determining step further comprises:**

**determining a relative size of the new filter** [figure 4A, step 401, "while items < cache rows" determines if the size of the items to be added would exceed the size of a cache row];

**assigning a filter weight to the new filter based on the relative filter size** [the corresponding weight is the size of the filter item; figure 4A, step 401, "while items < cache rows" determines if the size of the items to be added would exceed the size of a cache row];

**deriving a cache weight by summing filter weights of all filters in the filter table including the new filter** [the corresponding cache weight is the sum of the size of all filter items currently stored in the cache; While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29)]; **and**

**comparing the cache weight to the maximum cache size** [After the cache is scanned and a "miss" occurs (i.e., no match), the subquery is executed and its input value(s)/result value pair is added to the top (i.e., first row) of the subquery cache (column 7, lines 28-33); While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29)].

As to claim 5, Schneider teaches that **the method as recited in claim 1, wherein the maintaining further comprises:**

**identifying a weight associated with the new filter** [the corresponding weight is the size of the filter item; figure 4A, step 401, "while items < cache rows" determines if the size of the items to be added would exceed the size of a cache row];

**adding the weight associated with the new filter to a cache weight that is the sum of filter weights of filters in the filter table, each filter having a filter weight** [the corresponding cache weight is the sum of the size of all filter items currently stored in the cache; After the cache is scanned and a "miss" occurs (i.e., no match), the subquery is executed and its input value(s)/result value pair is added to the top (i.e., first row) of the subquery cache (column 7, lines 28-33); While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29)]; **and**

**comparing the cache weight to the maximum cache size** [While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29)].

As to claim 6, Chen teaches that **the method as recited in claim 1, further comprising identifying one or more expired filters in the filter table; and wherein the maintaining the inverse query engine cache further comprises removing at least one of the identified expired filters** [paragraph 0156: 21) time-out parameters for filter; paragraph 0151: 2) filters should expire after the subscribers have moved; paragraph 0154: 16) expiration of filters; paragraph 0158: 3) filter persistency (e.g.,



expiration time-outs); paragraph 0176: filter sender may have included a filter time-out. In this case, the determining step 458 checks the filter to see if the filter has expired; thus a filter is removed (i.e. not propagated any further) if it has expired; paragraph 0178: filter removal].

As to claim 7, Schneider teaches that **the method as recited in claim 1, further comprising a least recently used filter in the filter table** [For the latter case (i.e., a cache employing multiple rows or entries), generally cache rows are filled on a least-recently used (LRU) basis (column 7, lines 26-28)]; and **wherein the maintaining the inverse query engine cache further comprises removing the least recently used filter from the filter table when a size of the inverse query engine cache reaches the maximum cache size** [Finally, an "LRU Depth" of the deepest hit in the cache is also tracked. Since the cache can adjust its size dynamically, it itself has a "depth"--that is, how many rows comprise the cache at a given instance. An "LRU Depth" variable is therefore employed to track how deep (i.e., the deepest row) into the cache there has been a "hit" (column 2, lines 20-40)].

As to claim 8, refer to "As to claim 1" presented earlier in this Office Action.

As to claim 9, Chen teaches that **the system as recited in claim 8, further comprising an expiration module configured to remove expired filters from the filter table** [paragraph 0156: 21) time-out parameters for filter; paragraph 0151: 2) filters should expire after the subscribers have moved; paragraph 0154: 16) expiration of filters; paragraph 0158: 3) filter persistency (e.g., expiration time-outs); paragraph 0176: filter sender may have included a filter time-out. In this case, the determining

step 458 checks the filter to see if the filter has expired; thus a filter is removed (i.e. not propagated any further) if it has expired; paragraph 0178: filter removal].

As to claim 10, Chen teaches that **the system as recited in claim 9, wherein the maintainer is further configured to invoke the expiration module when a new filter is added to the filter table** [paragraph 0156: 21) time-out parameters for filter; paragraph 0151: 2) filters should expire after the subscribers have moved; paragraph 0154: 16) expiration of filters; paragraph 0158: 3) filter persistency (e.g., expiration time-outs); paragraph 0176: filter sender may have included a filter time-out. In this case, the determining step 458 checks the filter to see if the filter has expired; thus a filter is removed (i.e. not propagated any further) if it has expired; paragraph 0178: filter removal].

As to claim 11, Schneider teaches that **the system as recited in claim 8, further comprising a trim module configured to remove one or more filters from the filter table when the cache reaches a maximum cache size** [While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29); Finally, an "LRU Depth" of the deepest hit in the cache is also tracked. Since the cache can adjust its size dynamically, it itself has a "depth"--that is, how many rows comprise the cache at a given instance. An "LRU Depth" variable is therefore employed to track how deep (i.e., the deepest row) into the cache there has been a "hit" (column 2, lines 20-40)].

As to claim 12, Schneider teaches that **the system as recited in claim 11, wherein the trim module is further configured to remove the one or more filters from the filter table until the cache is reduced to an optimal cache size** [In particular, a subquery cache is provided having a size which can be dynamically adjusted by the system during execution of the query, for achieving an optimal cache size (abstract); For the latter case (i.e., a cache employing multiple rows or entries), generally cache rows are filled on a least-recently used (LRU) basis (column 7, lines 26-28)].

As to claim 13, Chen teaches that **the system as recited in claim 11, wherein the trim module is further configured to determine if a permanent flag in a filter is set and, if the permanent flag is set, to leave the filter in the filter table** [paragraph 0178: There are cases in some publish-subscribe network strategy (e.g., CBT) where filters have no expiration time-outs, and once they have been propagated to one node, they will remain persistent over that link until some changes to the filter set (e.g., filter addition, filter removal, etc.) take place].

As to claim 14, Schneider teaches that **the system as recited in claim 11, wherein:**  
**a filter weight is associated with each filter in the filter table** [the corresponding weight is the size of the filter item; figure 4A, step 401, "while items < cache rows" determines if the size of the items to be added would exceed the size of a cache row];  
**the cache size further comprises a cache weight that is a sum of all filter weights in the filter table** [the corresponding cache weight is the sum of the size of all filter

items currently stored in the cache; While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29)]; **the maximum cache size further comprises a maximum cache weight** [the corresponding cache weight is the sum of the size of all filter items currently stored in the cache; While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29)]; **and wherein the trim module is further configured to deduct a filter weight from the cache weight when a filter associated with the filter weight is removed from the filter table** [For the latter case (i.e., a cache employing multiple rows or entries), generally cache rows are filled on a least-recently used (LRU) basis (column 7, lines 26-28); since the weight is the size, whenever a filter is removed from the cache, the size of the cache decreases by the size of the filter, so as the weight].

As to claim 15, Schneider teaches that **the system as recited in claim 14, further comprising a cache weight module configured to assign a filter weight to each filter added to the filter table, each filter weight identifying a relative size of a filter with regard to other filters in the filter table** [since the weight is the size, whenever a filter is added to the cache, the size of the cache increases by the size of the filter, so as the weight].

As to claim 21, refer to "A to claim 6" presented earlier in this Office Action.

As to claim 25, refer to "As to claim 13" presented earlier in this Office Action.

As to claim 27, refer to "A to claim 1" presented earlier in this Office Action.

As to claim 28, refer to "As to claim 6" presented earlier in this Office Action.

As to claim 29, Chen teaches that **the method as recited in claim 28, wherein an expired filter is a filter that has been stored in the inverse query engine cache for a predefined period of time** [paragraph 0156: 21) time-out parameters for filter; paragraph 0151: 2) filters should expire after the subscribers have moved; paragraph 0154: 16) expiration of filters; paragraph 0158: 3) filter persistency (e.g., expiration time-outs); paragraph 0176: filter sender may have included a filter time-out. In this case, the determining step 458 checks the filter to see if the filter has expired; thus a filter is removed (i.e. not propagated any further) if it has expired].

As to claim 30, refer to "As to claim 29" presented earlier in this Office Action.

As to claim 31, refer to "As to claim 7" presented earlier in this Office Action.

As to claim 34, refer to "As to claim 6" presented earlier in this Office Action.

As to claim 35, refer to "As to claim 29" presented earlier in this Office Action.

As to claim 36, refer to "As to claim 29" presented earlier in this Office Action.

As to claim 38, refer to "As to claim 13" presented earlier in this Office Action.

8. Claim 16 is rejected under 35 U.S.C. 103(a) as being unpatentable over Schneider (US 5,668,987), in view of Chen et al. (US 2004/0001498, hereinafter referred to as Chen), and further in view of Baum et al. (US 4,928,239).

As to claim 16, Schneider teaches using a "Least Recently Used" algorithm for replacing cache entries [For the latter case (i.e., a cache employing multiple rows or

entries), generally cache rows are filled on a least-recently used (LRU) basis (column 7, lines 26-28)], but neither Schneider nor Chen teaches a **most recently used list**.

However, "most recently used" is exactly the opposite of "least recently used," thus it is obvious to one of ordinary skills in the art that, regarding replacing a cache entry, a "least recently used" entry should be the first one to be replaced while a "most recently used" entry should be the last one to be replaced.

Further, Baum et al. disclose in their invention "cache memory with Variable Fetch and Replacement Schemes" monitoring the "most recently used" entries for the purpose of cache replacement [according to the LRU replacement scheme, each time one of the blocks in the cache is accessed, it is marked most recently used and the LRU status bits of the others are adjusted accordingly (column 5, lines 5-8)].

Therefore, it would have been obvious for one of ordinary skills in the art to recognize that the "most recently used" is implied by "least recently used" as far as cache entry replacement is concerned, as demonstrated by Minami et al., hence lacking patentable significance.

**9. Claim Rejections - 35 USC § 102**

**10.** The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Art Unit: 2186

11. Claims 17-20, 22-24, 26, 32-33 and 37 are rejected under 35 U.S.C. 103(a) as being unpatentable over Schneider (US 5,668,987).

As to claim 17, Schneider discloses **one or more computer-readable storage media** [main memory, figure 1A, 102; mass storage, figure 1A, 107] **storing computer-executable instructions** [program code, columns 13~66] **that, when executed on a computer** [central processor, figure 1A, 101], **perform the following steps:**

**receiving a request to add a new query to an inverse query engine cache that stores multiple queries, each query having a query size associated therewith**

[After the cache is scanned and a "miss" occurs (i.e., no match), the subquery is executed and its input value(s)/result value pair is added to the top (i.e., first row) of the subquery cache (column 7, lines 28-33); figure 4A, step 401, "while items < cache rows" determines if the size of the items to be added would exceed the size of a cache row];

**defining conditions and processing input that satisfies the conditions** [figure 3A shows an example of the conditions: Select C1 from T1 where C2=(Select MAX(C3) from T2 where T2.C4=T1.C1)];

**deriving a cache size that is a sum of query sizes of the queries stored in the inverse query engine** [In particular, a subquery cache is provided having a size which can be dynamically adjusted by the system during execution of the query, for achieving an optimal cache size (abstract)];

**determining if the cache size is at greater than or equal to a maximum cache size, where the cache size may be determined comprising cache usage, size of the query, or estimate of size of query** [While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29); In particular, a subquery cache is provided having a size which can be dynamically adjusted by the system during execution of the query, for achieving an optimal cache size (abstract)];

**removing one or more queries from the inverse query engine cache if the cache size is greater than or equal to the maximum cache size** [For the latter case (i.e., a cache employing multiple rows or entries), generally cache rows are filled on a least-recently used (LRU) basis (column 7, lines 26-28)];

**deducting the query size of each query removed from the cache size** [since the size of the cache is the sum of the size of all queries in the tables, whenever a query is removed from the cache, the size of the cache decreases by the size of the query];

**adding the new query to the inverse query engine cache** [While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29); First, Schneider teaches maintaining the inverse query engine cache at or below a maximum cache size as new items are added to the filter table [While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are



added to the cache (column 8, lines 26-29)] by trimming old, least used items from the table [the method continues to execute and maintain the cache at maximum size; generally cache rows are filled on a least-recently used (LRU) basis (column 7, lines 26-28)]. Thus maintaining the inverse query engine cache at or below a maximum cache size includes both adding new entries and removing old entries. Second, since Schneider's method continues to execute and maintain the cache at maximum size (column 8, lines 26-29), it must continuously monitor and keep track on the total size of cache, which requires the monitoring how many entries have been added and how many entries have been removed in order to update the total size]; and **adding a new query size to the cache size, the new query size identifying a size of the new query added to the inverse query engine cache** [since the size of the cache is the sum of the size of all queries in the tables, whenever a query is added to the cache, the size of the cache increases by the size of the query].

As to claim 18, Schneider teaches that **the method as recited in claim 17, wherein the removing step further comprises removing a query from the inverse query engine that has been used less recently than other queries stored in the inverse query engine cache** [generally cache rows are filled on a least-recently used (LRU) basis (column 7, lines 26-28)].

As to claim 19, refer to "As to claim 17" presented earlier in this Office Action.

As to claim 20, Schneider teaches that **the one or more computer-readable media as recited in claim 17, wherein the step of adding the new query size to the cache size is performed before determining if the cache size is greater than**

**or equal to the maximum cache size** [figure 4A, step 401, “while items < cache rows” determines if the size of the items to be added would exceed the size of a cache row; While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29)].

As to claim 22, Schneider teaches that **the one or more computer-readable media as recited in claim 17, wherein the new query size is received with the new query** [figure 4A, step 401, “while items < cache rows” determines if the size of the items to be added would exceed the size of a cache row; While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29)].

As to claim 23, Schneider teaches that **the one or more computer-readable media as recited in claim 17, further comprising instructions to perform the additional step of determining the new query size** [figure 4A, step 401, “while items < cache rows” determines if the size of the items to be added would exceed the size of a cache row; While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29)].

As to claim 24, Schneider teaches that **the one or more computer-readable media as recited in claim 23, wherein the determining the new query size further comprises estimating the new query size** [figure 4A, step 401, “while items < cache

rows” determines if the size of the items to be added would exceed the size of a cache row; While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29)].

As to claim 26, Schneider teaches that **the one or more computer-readable media as recited in claim 17, wherein a query size is represented as a weight value that denotes the relative size of the query associated therewith with regard to other queries stored in the inverse query engine cache** [the corresponding cache weight is the sum of the size of all filter items currently stored in the cache; While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29)].

As to claim 32, Schneider teaches that **an inverse query engine having an integrated cache** [figure 2, 260 shows the inverse query engine; figure 3B shows a subquery cache (340) which is part of the query engine].

As to claim 33, Schneider teaches that **the inverse query engine as recited in claim 32, wherein the cache is bound to a finite size** [While the number of items is less than the cache size (step 401), the method continues to execute and maintain the cache at maximum size; any unique items (i.e., values) are added to the cache (column 8, lines 26-29)].

As to claim 37, refer to “As to claim 18” presented earlier in this Office Action.

The following list of prior art is considered to be pertinent to applicant's invention, but not relied upon for claim analysis conducted above.

- DeMarcken et al., (US Patent Application Publication 2004/0249682), "Filling a Query for Travel Planning."
- Haas et al., (US 6,934,699), "System and Method for Loading a Cache with Query Results."
- Gupta et al., (US 7,035,846), "Method, Computer Programs and Apparatus for caching Directory Queries."
- Jackson, (US Patent Application Publication 2003/0123387), "Device and Method for Filtering Network Traffic."
- Bennett, (US Patent Application Publication 2003/0204664), "Cache with Multiway Steering and Modified Cycle Reuse."
- Fu et al., (US Patent Application Publication 2004/0111519), "Access Network Dynamic Firewall."

### ***Conclusion***

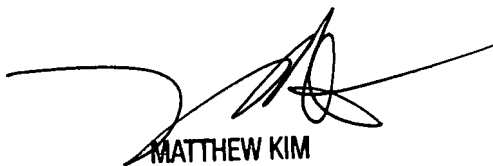
13. Claims 1-38 are rejected as explained above.
14. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Sheng-Jen Tsai whose telephone number is 571-272-4244. The examiner can normally be reached on 8:30 - 5:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Matthew Kim can be reached on 571-272-4182. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Sheng-Jen Tsai  
Examiner  
Art Unit 2186

May 31, 2007



MATTHEW KIM  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100